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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 179-98-561  
 First Inventor or Application Identifier Jason Hudson  
 Title Manager Agent Brian  
 Express Mail Label No. EE 318 062 074US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 29]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
4. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

## ADDRESS TO:

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5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired  
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: \_\_\_\_\_

## 16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

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MANAGER OBJECT FOR MANAGEMENT OF MULTIPLE RESOURCES ON DATALESS  
CLIENTS IN A DISTRIBUTED COMPUTING ENVIRONMENT

BACKGROUND OF THE INVENTION

5 Technical Field

The present invention is directed to managing a large distributed computer network. More particularly, the present invention is related to the field of application management in a large enterprise network.

10 Description of the Related Art

Enterprises now desire to place all of their computing resources on a computer network. To this end, it is known to connect computers in a large, geographically-dispersed network environment and to manage such an environment in a distributed manner. One such management framework, the Tivoli Managed Environment™, comprises a server that manages a number of nodes, each of which has a local object database that stores object data specific to the local node. Each managed node typically includes a management framework, comprising a number of management routines, that is capable of a relatively large number (e.g., hundreds) of simultaneous network connections to remote machines. The framework manages hundreds of megabytes of local storage and can spawn many dozens of simultaneous processes to handle method requests from local or remote users. Of these nodes, only a small percentage are file servers, name servers, database servers, or anything other than end-of-wire or endpoint machines. The majority of the network machines are simple

personal computers (PCs) or workstations that see little management activity during a normal day.

Among the many features of the Tivoli ME system is the use of a lightweight client framework ("LCF"). The LCF is software that runs on an endpoint computer and that allows the management system to communicate with and manipulate the client computer. The LCF includes a query agent that starts up and executes as needed to respond to management queries directed to the node. In the LCF, preferably the storage of management data on the client computer is substantially eliminated. An LCF-supported client is thus sometimes referred to as "dataless". This architecture minimizes the chance of corruption of management data by users.

Management operations on a dataless client, e.g., installing new software or checking memory usage, are often performed on a machine as a whole. However, there are often applications or subsystems running on a machine that require a finer granularity of management as combined to the overall machine. These applications typically are those that have multiple installations or "instances" running independently. An example is a relational database system where multiple database instances of the application service different business applications (e.g., accounting and human resources). To manage these applications, it is desirable and often necessary to target operations at a specific application instance. As noted above, however, to conserve resources, the local query agent typically is only started upon receipt of the management query. When started, this routine does not necessarily know about the different application

instances that may be executing on the machine, which complicates the management operation.

The present invention addresses this problem.

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## BRIEF SUMMARY OF THE INVENTION

According to the invention, an entity, sometimes referred to as a "manager", is created to represent each application type running on a client. The manager, which may reside anywhere in the distributed network, is the target of management operations. It then redirects those operations to the appropriate client node.

The manager preferably comprises a control routine, together with a registry comprising a set of one or more elements. Each element includes a data set of information describing a context of a given application instance executing on the client. Typical context information includes client node identity, installation location (e.g., directory), installation identifier (e.g., database server name), administrator username/password details, and the like. When a query is performed by a management server, the manager preferably relays the query to the client node after augmenting it with the appropriate context information. Upon receipt of the query at the client, a query agent is started. The context information is then used by a local query agent to identify which of the many installed instances of the application to target for the management operation.

The manager may also include or use a discovery mechanism to discover existing applications (and their application instances) on a client node. Alternatively, information about application types (and associated application instances) are explicitly registered with the client manager in a registration process. According to the present invention, the manager preferably fully

specifies the identity of an application instance targeted for a management operation.

In one aspect, the present invention describes a method of managing a set of clients in a distributed computer network having a management server. A given client preferably includes a dataless management framework. According to the method, a manager object is associated to each application type (to be managed) on a given client. The manager object preferably includes a registry comprising a set of one or more elements. Preferably, there is one element per application instance. The element includes a data set of information representing a context of the application instance. According to the invention, all instances of the application are then managed through the application's manager object.

According to another aspect of the invention, a manager object is provided for use in managing an application of a given type executing on a client machine. The manager object comprises a control routine, together with a registry of elements. Each element includes a data set of information representing a context of a given application instance. The routine intercepts a query directed to the client machine for managing the application, modifies the query with the information, and then redirects the modified query to the client machine to target management of the application instance directly.

According to yet another aspect of the invention, a management framework is provided for use in distributed management operations. The framework comprises a management

server to which a set of clients to be managed are connectable and, for each client, a set of manager objects. As noted above, each manager object is associated with a given application to be managed at the client and is responsive to management operations initiated at the management server for directly managing instances of the application.

Thus, it is a more general object of the present invention to provide a set of manager objects for managing applications (and their associated instances) on a dataless client in large managed environment. In one embodiment, there is one manager object per application type.

Another more general object of this invention is to provide a finer degree of management control over a client machine operating in a distributed computer environment.

Still another object of the present invention is to provide a system that effectively manages multiple applications (and their associated application instances) in a managed environment comprising a set of dataless clients connected to a management server.

The foregoing has outlined some of the more pertinent objects of the present invention. These objects should be construed to be merely illustrative of some of the more prominent features and applications of the invention. Many other beneficial results can be attained by applying the disclosed invention in a different manner or modifying the invention as will be described. Accordingly, other objects and a fuller

understanding of the invention may be had by referring to the following Detailed Description of the preferred embodiment.



## BRIEF DESCRIPTION OF THE DRAWINGS

For a more complete understanding of the present invention and the advantages thereof, reference should be made to the following Detailed Description taken in connection with the accompanying drawings in which:

**Figure 1** illustrates a simplified diagram showing a large distributed computing enterprise environment in which the present invention is implemented;

**Figure 2** is a block diagram of a preferred system management framework illustrating how the framework functionality is distributed across the gateway and its endpoints within a managed region;

**Figure 3** is a block diagram of the elements that comprise the lightweight client framework ("LCF") client component of the system management framework;

**Figure 4** illustrates a smaller ~~workgroup~~ implementation of the enterprise in which the server and gateway functions are supported on the same machine;

**Figure 5** is a simplified representation illustrating a set of manager objects for use in managing application types and their associated instances according to the present invention;

**Figure 6** is a flowchart illustrating a preferred operation of a manager object control routine according to the present invention.

## DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT

Referring now to **Figure 1**, the invention is preferably implemented in a large distributed computer environment 10 comprising up to thousands of ~~nodes~~. The nodes typically are geographically dispersed and the overall environment is said to be ~~managed~~ in a distributed manner. Preferably, the management environment (ME) is broken down logically into a series of loosely-connected managed regions (MR), each with its own management server 12 for managing local resources within the MR.

The network typically includes other servers (not shown) for carrying out other distributed network functions. These include name servers, security servers, file servers, thread servers, time servers and the like. Multiple servers 12 coordinate activities across the enterprise and permit remote site management and operation. Each server 12 serves a number of gateway machines 14, 16 and 17, each of which in turn support a plurality of endpoints 18 and 19. In this configuration, gateway 14 also is a server. Server 12 preferably coordinates all activity within the MR.

Servers 12 and 14 provide network resources such as data storage space, application services and many other services known to be provided by servers in a network. Preferably, the servers 12 and 14 are computers including a IBM RS/6000® processor running the AIX operating system, preferably version 3.2.5 or

greater. Suitable alternative machines include an IBM-compatible PC x86 or higher running Windows NT® or LINUX, a Data General AViion® series running DG/UX version 4.2, SCO UnixWare® 2.1 or greater, a Hewlett Packard 9000/700 or 800 series running HP UX 9.0 or greater, a Compaq AlphaServer® running Digital UNIX or Windows NT, or a Sun Enterprise 10000 series running Solaris® 7. Of course, other machines and/or operating systems may be used as well for the server machines.

Workstations 16, 17 and 19 are connected directly to the network using known techniques such as Ethernet networks, token ring networks, and the like. Wireless connections may also be used. Workstations 16, 17 and 19 are preferably IBM-compatible x86 personal computers running IBM OS/2®, Windows® 98 or NT®. Alternative Unix based workstations produced by IBM, Sun, Hewlett-Packard and others may be used as well. In this illustrative example, workstation 17 serves as a dial-up server for laptop computers 18. This provides convenient access for mobile users. Laptop computers 18 are preferably x86 based machines such as the IBM Thinkpad® series running a suitable operating system such as IBM OS/2® or Windows® 98.

Referring now to **Figure 2**, each gateway machine, such as server 14, preferably runs a server component 22 of a system management framework. The server component 22 is a multi-threaded runtime process that comprises several components:

an object request broker or ~~ORB~~ 21, an authorization service 23, object location service 25 and basic object adapter or ~~BOA~~ 27. Server component 22 also includes an object library 29.

Preferably, the ORB 21 runs continuously, separately from the operating system, and communicates with both server and client processes through separate inter-process communication (IPC) facilities 30. In particular, a secure remote procedure call (RPC) is used to invoke operations on remote objects. Gateway server 14 also includes an operating system 28 and a threads mechanism 26.

The system management framework preferably includes a client component 24 supported on each of the endpoint machines, such as workstations 19. The client component 24 preferably is ~~dataless~~ in the sense that the system management data is not cached or stored there in a persistent manner. This is a known product called the Tivoli lightweight client framework ("LCF"). The LCF has two main parts as illustrated in **Figure 3**: the LCF daemon 24a and an application runtime library 24b. The LCF daemon 24a is responsible for endpoint log-in and for spawning application endpoint executables. Once an executable is spawned, the LCF daemon 24a has no further interaction with it. Each executable is linked with the application runtime library 24b, which handles all further communication with the gateway. The

runtime library includes a query agent that is started upon receipt of a management query and then is used to effectuate a given management operation.

Implementation of the management framework in this

5    ❖client-server❖ manner has significant advantages, and it facilitates the connectivity of personal computers into the managed environment. Using an object-oriented approach, the system management framework facilitates execution of system management tasks required to manage the resources in the MR. 10 Such tasks are quite varied and include, without limitation, file and data distribution, network usage monitoring, user management, printer or other resource configuration management, and the like.

In the large enterprise such as illustrated in **Figure 1**, preferably there is one server per MR with some number of gateways. For a workgroup-size installation (e.g., a local area network) such as illustrated in **Figure 4**, a single server-class machine may be used as the server and gateway, and the client machines run the lightweight client framework (LCF) as previously 20 described. References herein to a distinct server and one or more gateway(s) should thus not be taken by way of limitation, as these elements may be combined into a single platform. For intermediate size installations, the MR grows breadth-wise with additional gateways being used to balance the load of the end 25 points.

The server is the top-level authority over all gateways and endpoints. In particular, the server maintains an endpoint list, which keeps track of every endpoint in a managed region. The list preferably contains all information necessary to uniquely identify and manage each endpoint including, without limitation, such information as name, location, and machine type. The server also maintains the mapping between each endpoint and gateway, and this mapping is preferably dynamic. As noted above, there are one or more gateways per managed region. Preferably, a gateway is a fully-managed node that has been configured to operate a gateway. As endpoints log in, the gateway builds an endpoint list for its endpoints. The gateway's duties preferably include: the setting for endpoint log-in requests, the setting for endpoint update requests, and (its main task) acting as a gateway for method invocations on endpoints.

The above-described framework is a known end-to-end, cross-platform network management scheme that provides a core set of management services and various management applications. As already noted, given management operations in the managed environment may be carried out by "agents". An agent is a specialized low-impact software module or routine that is deployed to a client node and that is useful for executing some local management task. Thus, for example, the management server may include a discovery mechanism that provides automatic discovery of managed nodes, gateways and connected managed regions. The mechanism deploys the software agents, which identify information about managed devices and make it available

to a network managing system. A representative discovery mechanism of this type is described in more detail in Serial No. 09/089,961, titled "System, Method And Computer Program Product For Discovery In A Distributed Computing Environment." That application is assigned to the assignee of the present invention and is incorporated herein by reference.

Referring now to **Figure 5**, one of ordinary skill will appreciate that a given client machine 30 supports a plurality of software applications 32a-32n. Moreover, a set of one or more instances 34a-34n of a given software application 32 may be executing on the client machine at any one time. According to the present invention, a manager object 36a-36n is associated with a given application type for the purpose of managing that application (and its instances) directly. Each manager object 36 comprises two main elements: a registry 35, and a control routine 40. The registry 35 is preferably an array (or other suitable data structure, such as a linked list) comprising a set of elements 38a-n. Each element 38 comprises a data set of information representing a given context of an instance of the application. Thus, the manager object's registry 35 includes only one element 38 if only a single instance of the application is executing on the client computer. The control routine 40, as will be described below, is used to intercept a management query

targeted to the application and to redirect the query to a given application instance managed by the manager object. The redirected query may differ from the original query by including context-specific information unique to an application instance.

5 Thus, according to the invention, a given client machine supports at least one application to be managed. As an application is started, a corresponding manager object is associated therewith. The manager object is then used to manage the application and its associated instances directly. The set  
10 of manager objects associated with a given client machine application type may be supported anywhere in the managed network (e.g., at a management server, at a gateway, or at another location). As also seen in **Figure 5**, a given manager object may also include a discovery routine 42 for use in discovering  
15 application types (and their associated instance) on the client machine. The discovery routine is useful when manager objects are instantiated prior to their association with given applications. A given application (and its associated instances) also may be located by a manager object by having the manager  
20 object call a separate discovery mechanism, which then returns the results of the discovery process.

Thus, assume that a given client machine to be managed by the distributed framework includes Appl 1 (Lotus Notes), Appl 2 (Oracle) for use by the enterprise's accounting department,  
25 another instance of Appl 2, for use by the enterprise's human resources department, and Appl x (other). According to the



invention, there would be three (3) manager objects: one for managing Appl 1, one for managing both instances of Appl 2, and one for managing Appl x. As noted above, each of the manager objects preferably includes a registry of data elements, with each element composed of a data set that includes context-specific information for a given application instance. The data set typically comprises client node identity, an installation location (e.g., directory), an installation identifier (e.g., database server name), and optional administrator username/password details. Of course, one of ordinary skill in the art will appreciate that other local contextual information and/or types may be incorporated into the data set.

**Figure 6** is a flowchart of a preferred operating routine of the manager object. The routine begins at step 50 by associating a manager object to a given application. As noted above, prior to this step, a discovery operation may have been carried out to identify the application type. At step 52, the manager object waits for a given management operation or query from the management server (or some other source). For the purposes of illustration, the remainder of the discussion shall describe manager object operation in the context of a management query, although one of ordinary skill in the art will appreciate that the operation described below is also used for any given management operation protocol.

A test is performed at step 54 to determine whether a query has been received. If not, the routine returns to step 52. If, however, a query has been received, the routine continues at step 58 to intercept and parse the request. Parsing the request

5 enables the manager object to identify the application type and instance, if any, to which the query is directed. To this end, typically the query includes an identifier identifying the target application instance. Such information may be obtained by the management server, for example, by periodically polling the manager object's registry or via a request-response protocol between the server and the object. At step 60, the control

10 routine may modify the query to reflect given context information in the object's registry (in particular, the data set of the given element corresponding to the identifier passed from the management server). This operation provides a much finer degree of control over the management operation. Thus, for example, if the original query was "how big is my Oracle database", the modified query is "how big is may Oracle database being operated by the accounting department" or the like. As can be seen, the

15 application-specific query may be modified at step 60 to become application instance-specific. As used herein, a query may be "modified" by augmenting the query (as described) by substituting an alternate query, by processing the query (e.g., to add a security token), or by some combination of the above. Of course, 20 it is not required that the query be modified.

At step 62, the control routine of the manager object  
relaunches the modified query to the client machine. The client  
machine receives the query at step 64. At step 66, a local query  
agent is launched. This is a conventional operation in the LCF  
5 framework described above. At step 68, the local agent parses  
the received query and performs the requested operation. At step  
70, the results are returned back to the manager object. If no  
further processing is required, the manager object then returns  
the results of the query back to the requesting server. This is  
10 step 72. This completes the processing.

As can be seen, a given manager object is used to directly  
manage a given application type and, in particular, all instances  
of that application type. This operation provides significant  
advantages over the prior art, wherein management queries  
15 directed toward a given application cannot be specifically  
directed to a given application instance (e.g., because the local  
query agent in the dataless client does not start until receipt  
of the query). In addition, use of the manager object to manage  
a given application type (and/or application instance) enables  
20 finer granularity of access control. In particular, a server  
management operation may be directed to a particular application  
(or even a given application instance) without exposing the  
remainder of the client nodes to the operation. Further, use of  
the manager objects as described herein also provides the same  
25 scaleability advantages of an LCF architecture.

One of ordinary skill will appreciate that the control routine of a given manager object is a computer program executable by a processor on a given machine. One of the preferred implementations of the invention is as a set of instructions in a code module resident in the random access memory of a computer. Until required by the computer, the set of instructions may be stored in another computer memory, for example, in a hard disk drive, or in a removable memory such as an optical disk (for eventual use in a CD ROM) or floppy disk (for eventual use in a floppy disk drive), or even downloaded via the Internet.

The objects of this invention are achieved in a large distributed enterprise that includes computing resources organized into one or more managed regions, each region being managed by a management server servicing one or more gateway machines, with each gateway machine servicing a plurality of endpoint machines. As has been illustrated and described, a system management framework is preferably ~~distributed~~ on the gateway machines and the one or more endpoint machines to carry out system management tasks. Although the above environment is preferred, one of ordinary skill will appreciate that the inventive concepts may be implemented in smaller distributed client server network environments. Thus, the invention should not be construed to be limited to a particular large scale, distributed computing environment as described in the preferred embodiment.

In addition, although the various methods described are conveniently implemented in a general purpose computer selectively activated or reconfigured by software, one of ordinary skill in the art would also recognize that such methods  
5 may be carried out in hardware, in firmware, or in more specialized apparatus constructed to perform the required method steps.

Further, although the invention has been described in terms of a preferred embodiment in a specific network environment,  
10 those skilled in the art will recognize that the invention can be practiced, with modification, in other and different network architectures with the spirit and scope of the appended claims.

Having thus described our invention, what we claim as new and desire to secure by Letters Patent is set forth in the  
15 following claims.

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<h1 style="text-align: center;">FEE TRANSMITTAL</h1> <p style="text-align: center;">Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</p>		<b>Complete if Known</b>	
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<b>METHOD OF PAYMENT (check one)</b>		<b>FEE CALCULATION (continued)</b>																																																																																																																									
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: 09-0447</p> <p>Deposit Account Name: IBM Corporation</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input type="checkbox"/> Payment Enclosed:  <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p><b>3. ADDITIONAL FEES</b></p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130 205 65</td><td></td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50 227 25</td><td></td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139 130 139 130</td><td></td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520 147 2,520</td><td></td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920* 112 920*</td><td></td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840* 113 1,840*</td><td></td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110 215 55</td><td></td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 400 216 200</td><td></td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 950 217 475</td><td></td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,510 218 755</td><td></td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 2,060 228 1,030</td><td></td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310 219 155</td><td></td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310 220 155</td><td></td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270 221 135</td><td></td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510 138 1,510</td><td></td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110 240 55</td><td></td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,320 241 660</td><td></td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,320 242 660</td><td></td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 450 243 225</td><td></td><td>Design issue fee</td><td></td></tr> <tr><td>144 670 244 335</td><td></td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130 122 130</td><td></td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50 123 50</td><td></td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240 126 240</td><td></td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40 581 40</td><td></td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 790 246 395</td><td></td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149 790 249 395</td><td></td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">* Reduced by Basic Filing Fee Paid</td><td></td></tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130 205 65		Surcharge - late filing fee or oath		127 50 227 25		Surcharge - late provisional filing fee or cover sheet.		139 130 139 130		Non-English specification		147 2,520 147 2,520		For filing a request for reexamination		112 920* 112 920*		Requesting publication of SIR prior to Examiner action		113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action		115 110 215 55		Extension for reply within first month		116 400 216 200		Extension for reply within second month		117 950 217 475		Extension for reply within third month		118 1,510 218 755		Extension for reply within fourth month		128 2,060 228 1,030		Extension for reply within fifth month		119 310 219 155		Notice of Appeal		120 310 220 155		Filing a brief in support of an appeal		121 270 221 135		Request for oral hearing		138 1,510 138 1,510		Petition to institute a public use proceeding		140 110 240 55		Petition to revive - unavoidable		141 1,320 241 660		Petition to revive - unintentional		142 1,320 242 660		Utility issue fee (or reissue)		143 450 243 225		Design issue fee		144 670 244 335		Plant issue fee		122 130 122 130		Petitions to the Commissioner		123 50 123 50		Petitions related to provisional applications		126 240 126 240		Submission of Information Disclosure Stmt		581 40 581 40		Recording each patent assignment per property (times number of properties)		146 790 246 395		Filing a submission after final rejection (37 CFR 1.129(a))		149 790 249 395		For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				* Reduced by Basic Filing Fee Paid			
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<b>SUBMITTED BY</b>				<b>Complete (if applicable)</b>	
Typed or Printed Name	Jeffrey S. Labau			Reg. Number	31,633
Signature	Jeffrey S. Labau			Deposit Account User ID	
	Date	12/17/98			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

## CLAIMS

1. A method of managing a set of clients in a distributed computer network having a management server, comprising the steps of:

5 associating a manager object to each application type on a given client, the manager object including a registry having a set of one or more elements, wherein each element includes information representing a context of an application instance; and

10 managing all instances of the application through the manager object.

2. The method as described in Claim 1 wherein the given client supports a dataless management framework.

3. The method as described in Claim 1 wherein the dataless management framework includes a local agent that is controlled by the manager object to manage the application instance.

20 4. The method as described in Claim 1 wherein the element includes information identifying a client node.

5. The method as described in Claim 1 wherein the element includes information identifying a directory where the  
25 application instance is installed.

6. The method as described in Claim 1 wherein the element includes information identifying a name of a resource where the application instance is installed.

5

7. The method as described in Claim 1 wherein the application type is discovered by the manager object.

8. The method as described in Claim 1 further including the step of discovering the application type prior to associating the manager object.

9. The method as described in Claim 1 wherein the manager object is managed by the management server.



10. A method of managing a set of clients in a distributed computer network having a management server, comprising the steps of:

for each client, establishing a set of manager objects,  
5 wherein each manager object is associated with a given type of application to be managed;

responsive to management operations initiated at the management server, managing a given client using the set of manager objects established for that client.

10 11. The method as described in Claim 10 wherein the given client supports a dataless management framework.

12. The method as described in Claim 11 wherein the dataless management framework includes a local agent that is controlled by the set of manager objects for the given client.

13. The method as described in Claim 10 wherein each manager object includes a registry comprising a set of elements,  
20 wherein each element includes information representing a context of an application instance.

14. The method as described in Claim 13 wherein the information comprises a client node identity, an installation  
25 location, and an installation identifier.

15. The method as described in Claim 10 further including the step of discovering the application type.

16. The method as described in Claim 10 further including  
5 the step of registering the application type with the manager object.

17. A manager for use in managing an application type, the manager executing on a client machine, comprising:

a registry comprising a set of one or more data elements, each element including information representing a context of an application instance; and

a control routine (a) for intercepting a query directed to the client machine, (b) for modifying the query as a function of the information; and (c) for redirecting the modified query to the client machine to target management of the application instance.

18. The manager object as described in Claim 17 further including a routine for discovering application types executing on the client machine.

19. The manager object as described in Claim 17 wherein the information identifies a client node.

20. The manager object as described in Claim 17 wherein the information identifies a directory where the application instance is installed.

21. The manager object as described in Claim 17 wherein the information identifies a name of a resource where the application instance is installed.

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22. A computer program product in a computer-readable medium and executable on a given computer for use in managing an application type executing on a client machine, comprising:

means for intercepting a query directed to the client  
5 machine for managing the application type;

means for modifying the query with information representing a context of a given application instance identified in the query; and

means for redirecting the modified query to the client  
10 machine to target management of the given application instance directly.

23. A framework for managing a set of clients, comprising:

a management server to which the set of clients are connectable; and

for each client, a set of manager objects, wherein each  
5 manager object is associated with a given type of an application to be managed at the client and is responsive to management operations initiated at the management server for managing one or more application instances directly.

MANAGER OBJECT FOR MANAGEMENT OF MULTIPLE RESOURCES ON DATALESS  
CLIENTS IN A DISTRIBUTED COMPUTING ENVIRONMENT

ABSTRACT OF THE DISCLOSURE

5           A method of managing a set of clients in a distributed  
computer network having a management server. A given client  
preferably includes a dataless management framework. According  
to the method, a manager object is associated to each application  
to be managed on a given client. The manager object preferably  
10 includes a registry composed of a set of elements, with each  
element corresponding to an instance of the application. The  
element comprises a data set of information representing a  
context of the application instance. All application instances  
are then managed through the manager object.

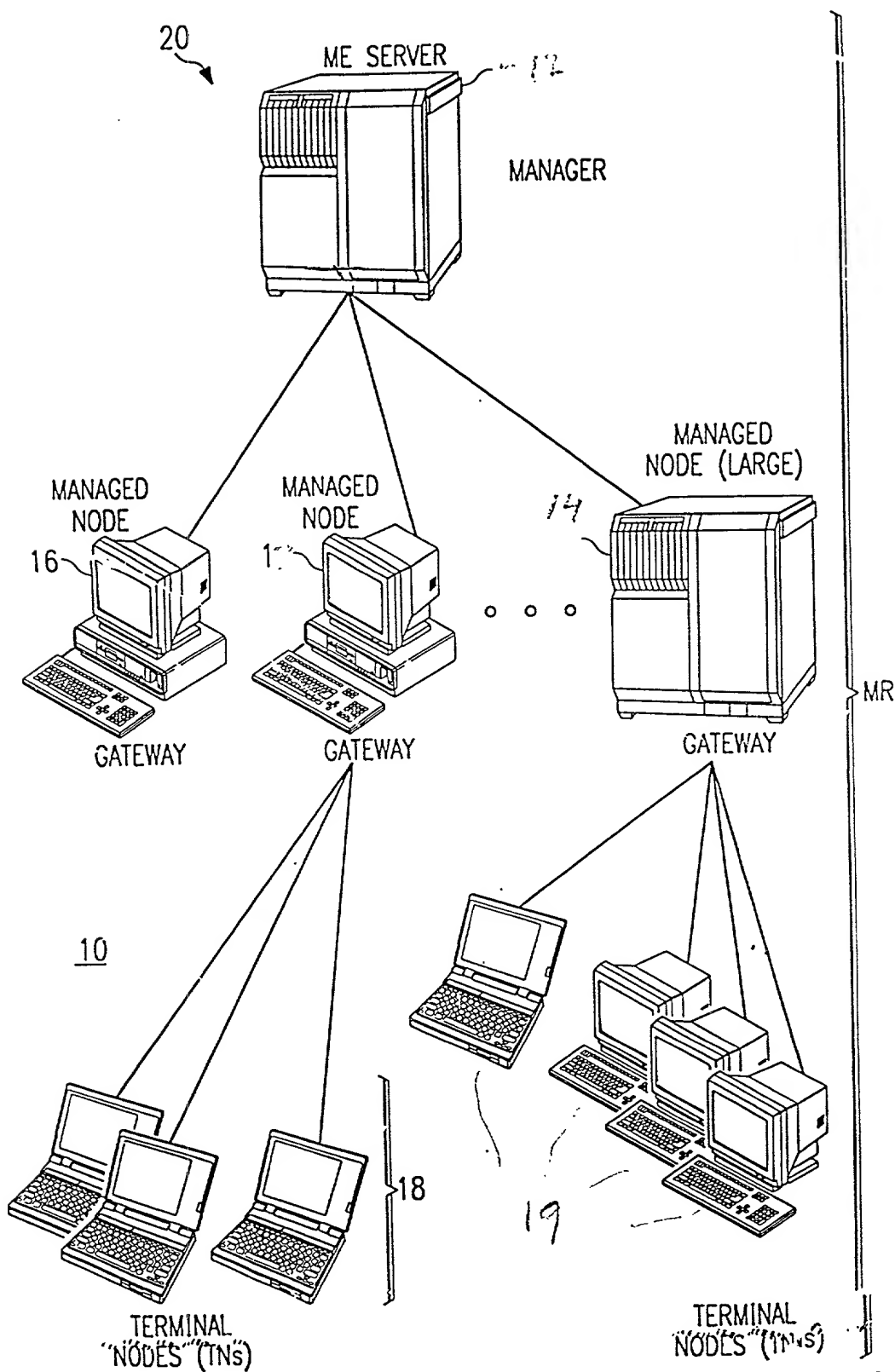


Figure 1 (Prior Art)



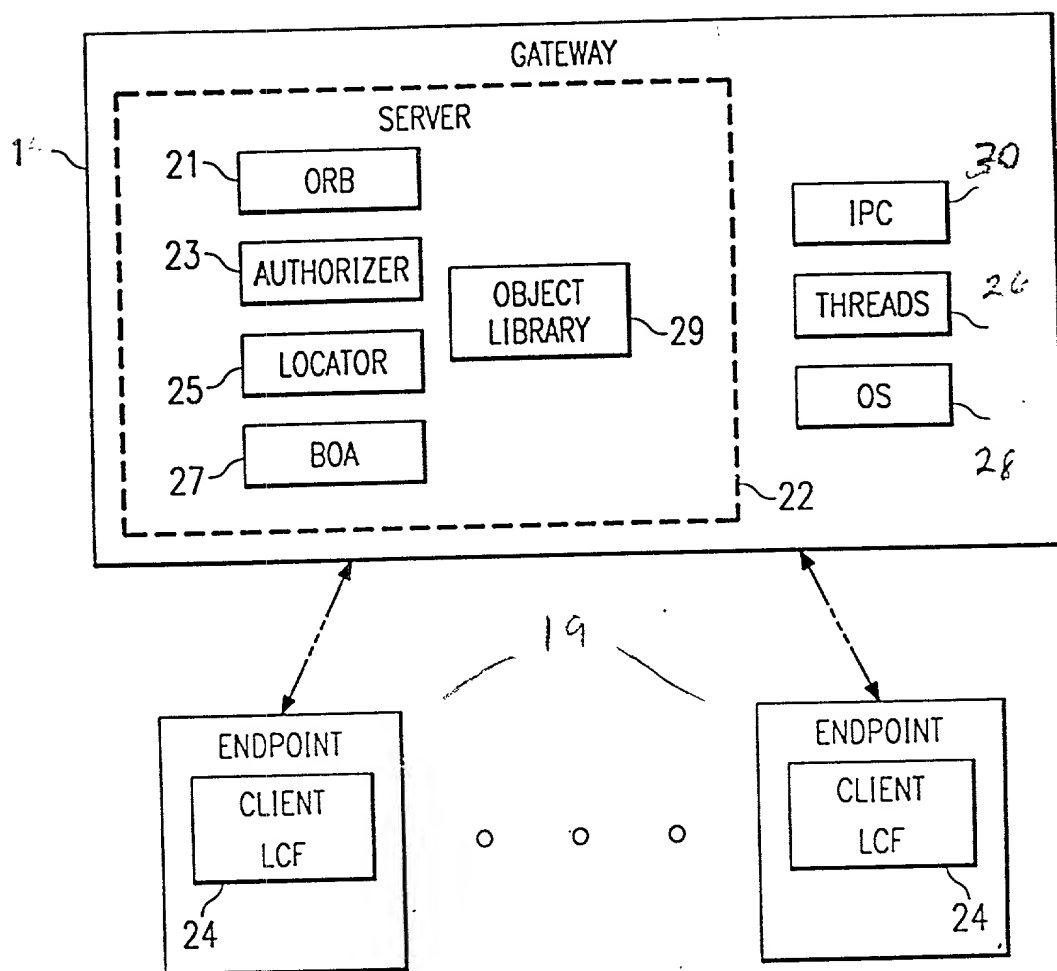


Figure 2 (Prior Art)

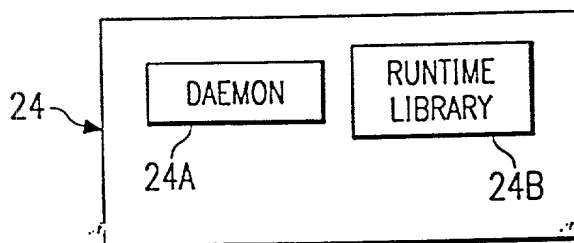


Figure 3

(Prior Art)

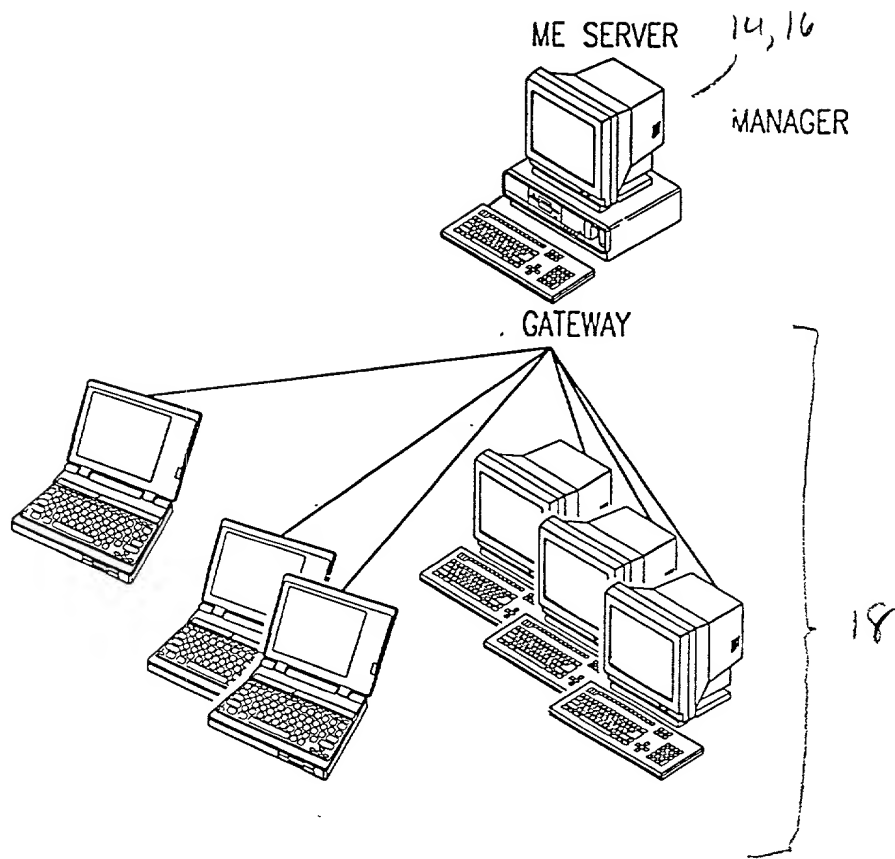


Figure 41 (Prior Art)

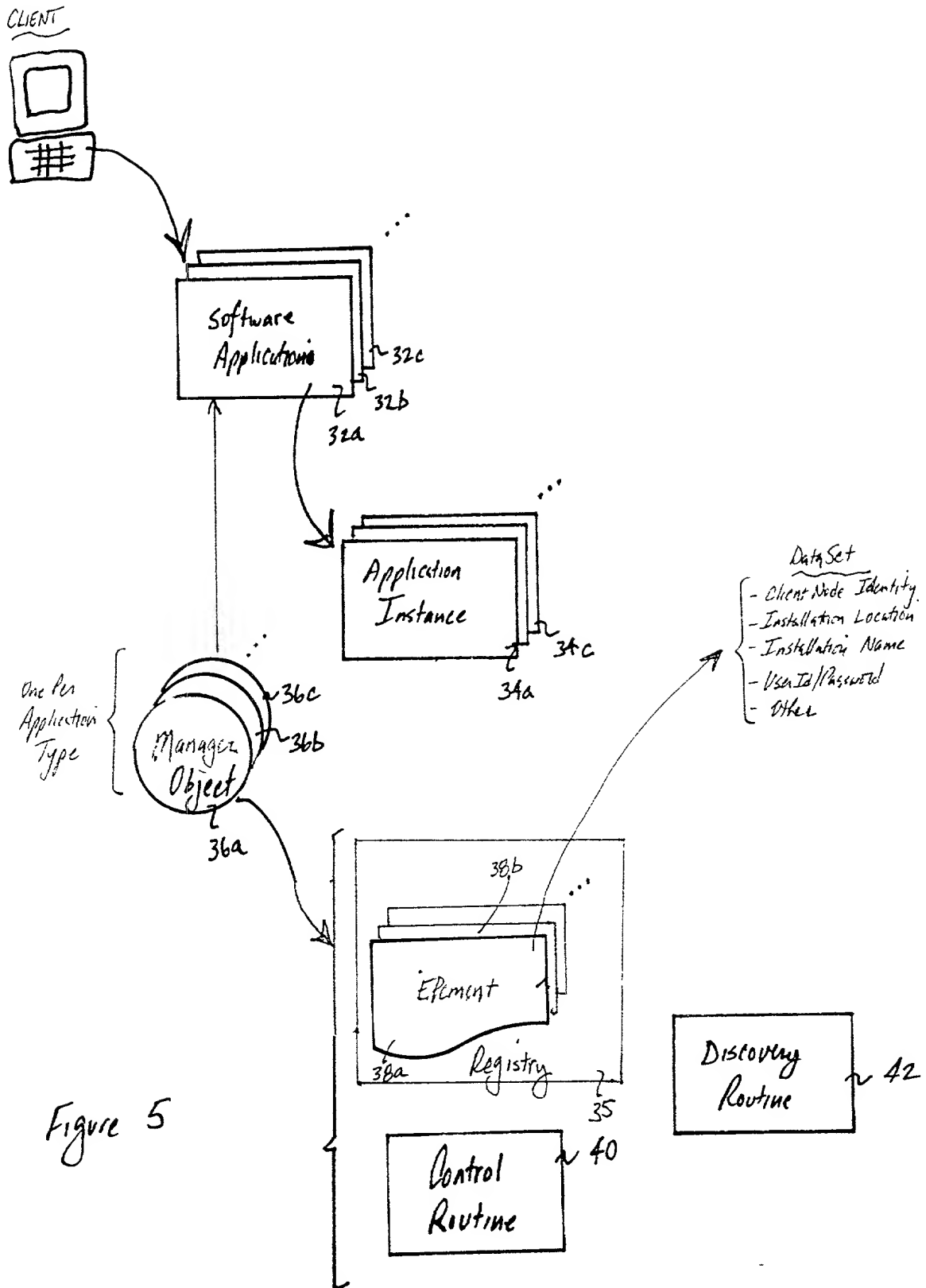


Figure 5

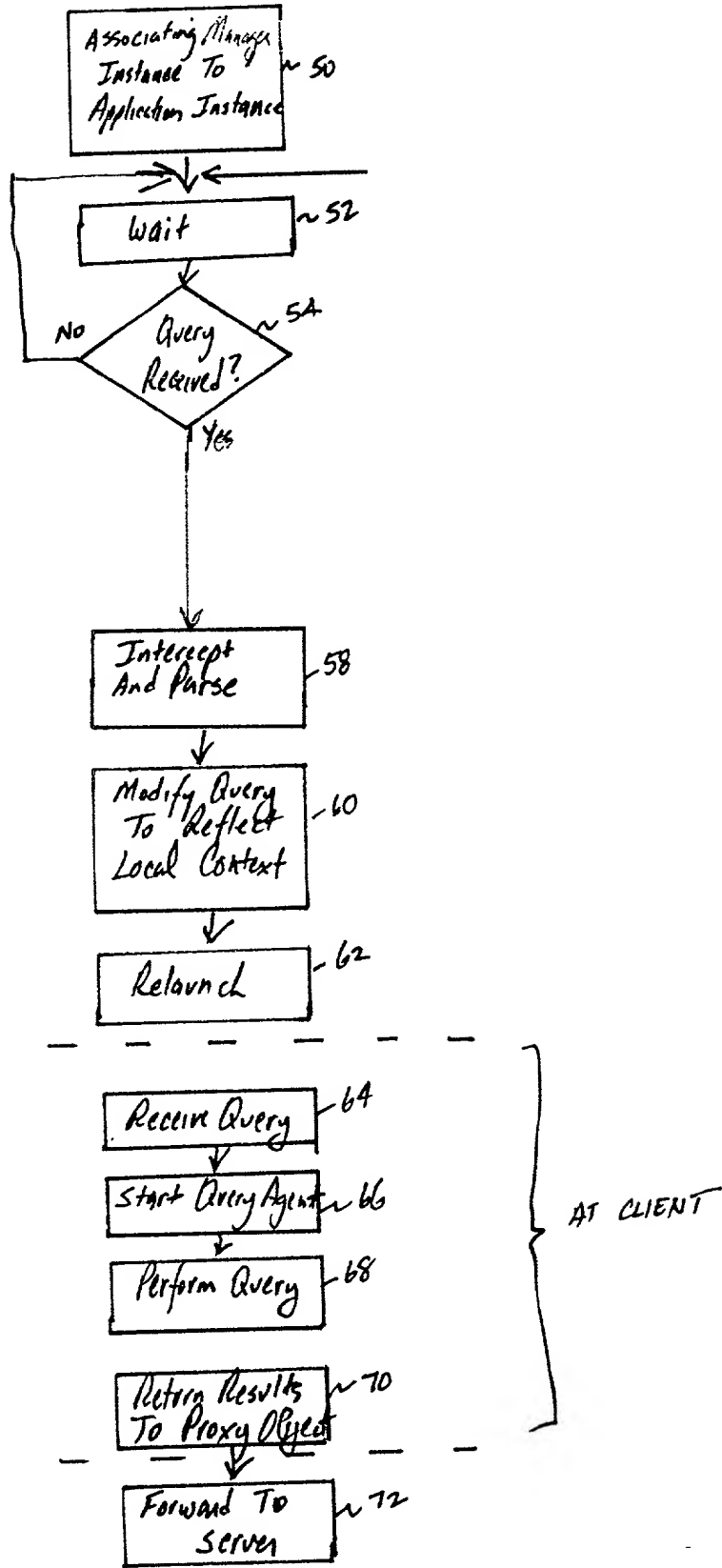


Figure 6

## DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### MANAGER OBJECT FOR MANAGEMENT OF MULTIPLE RESOURCES ON DATALESS CLIENTS IN A DISTRIBUTED COMPUTING ENVIRONMENT

the specification of which (check one):

- ☒ is attached hereto.
- ☐ was filed on \_\_\_\_\_;  
as Application Serial No. \_\_\_\_\_  
and which was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):	Priority Claimed	
(Number)	(Country)	(Day/Month/Year)
		___ Yes    ___ No

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial #)

(Filing Date)

(Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

John W. Henderson, Jr., Reg. No. 26,907; James H. Barksdale, Jr., Reg. No. 24,091; Thomas E. Tyson, Reg. No. 28,543; Robert M. Carwell, Reg. No. 28,499; Jeffrey S. LaBaw, Reg. No. 31,633; Douglas H. Lefevre, Reg. No. 26,193; Casimer K. Salys, Reg. No. 28,900; David A. Mims, Jr., Reg. No. 32,708; Richard A. Henkler, Reg. No. 39,220; Anthony V. England, Reg. No. 35,129; Volel Emile, Reg. No. 39,969; Leslie A. Van Leeuwen, Reg. No. 42,196; Christopher A. Hughes, Reg. No. 26,914; Edward A. Pennington, Reg. No. 32,588; John E. Hoel, Reg. No. 26,279; Joseph C. Redmond, Jr., Reg. No. 18,753; Marilyn S. Dawkins, Reg. No. 31,140; David H. Judson, Reg. No. 30,467, and Douglas A. Sorensen, Reg. No. 31,570.

Send correspondence to: David H. Judson, Hughes & Luce, L.L.P., 1717 Main Street, Suite 2800, Dallas, Texas 75201 and direct all telephone calls to Mr. Judson at 214/9395672.

FULL NAME OF FIRST  
INVENTOR:  
INVENTOR'S SIGNATURE:  
DATE:  
RESIDENCE:

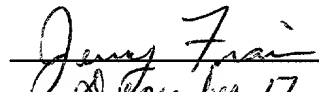
Jason James Hooper

  
December 15, 1998

9601 Leaning Rock Circle  
Austin, Texas 78730

CITIZENSHIP:  
FULL NAME OF SECOND  
INVENTOR:  
INVENTOR'S SIGNATURE:  
DATE:  
RESIDENCE:

UK *Frain 97*  
Jerry ~~Frain~~

  
December 17, 1998

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Round Rock, TX 78681  
USA

FULL NAME OF SECOND INVENTOR: James F. Kelton

INVENTOR'S SIGNATURE:

*James F. Kelton*  
*12/15/98*

DATE:

RESIDENCE: 3601 CR258 Liberty Hill, Texas 78642

CITIZENSHIP: US